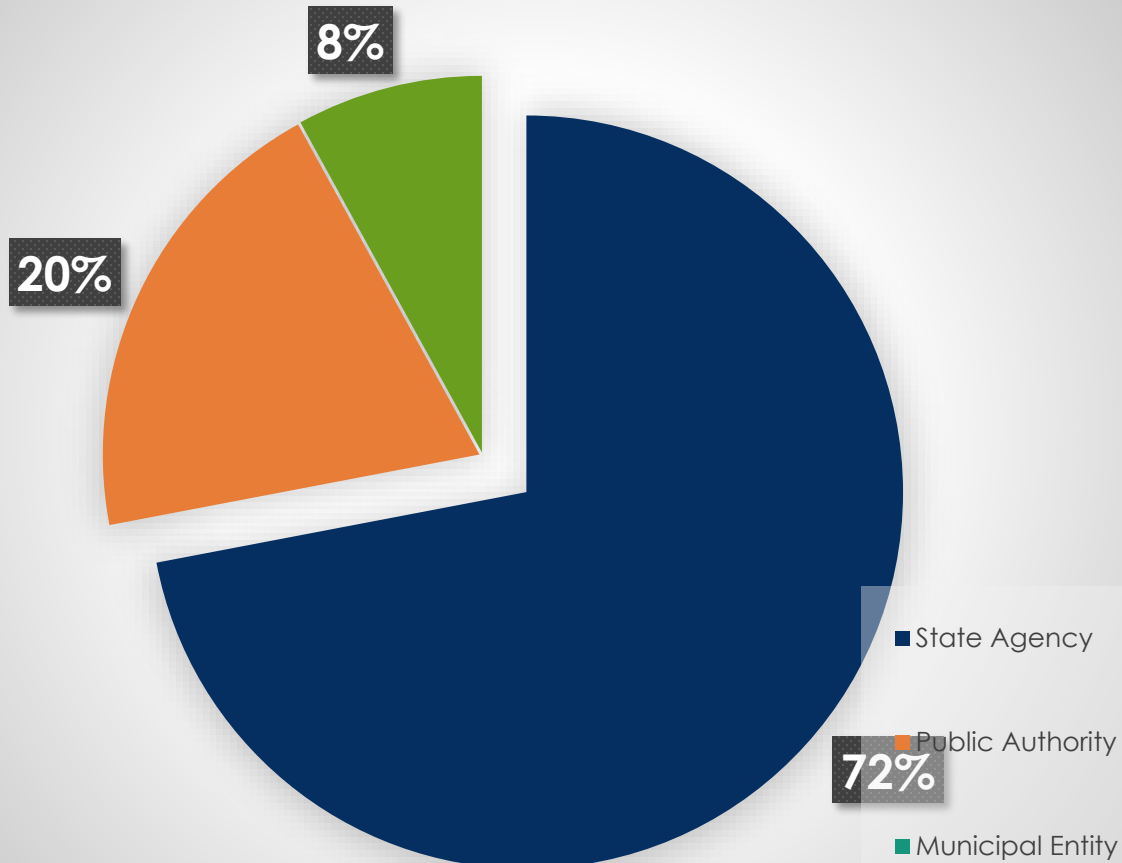


# NYSICA 2016 MEMBERSHIP SURVEY

**April 28, 2016**

## 2016 Response Types



## 2016 Survey

25 responses from organizations

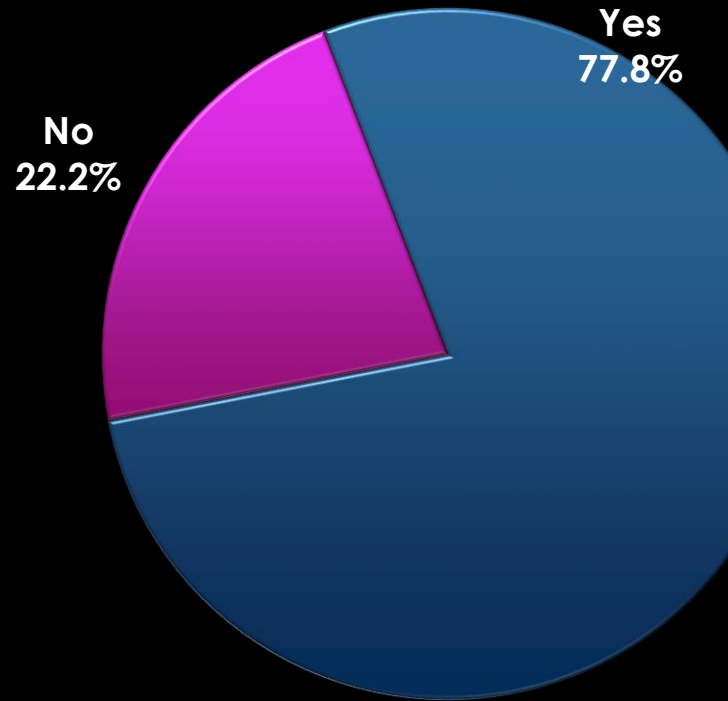
18 State Agencies

5 Public Authorities

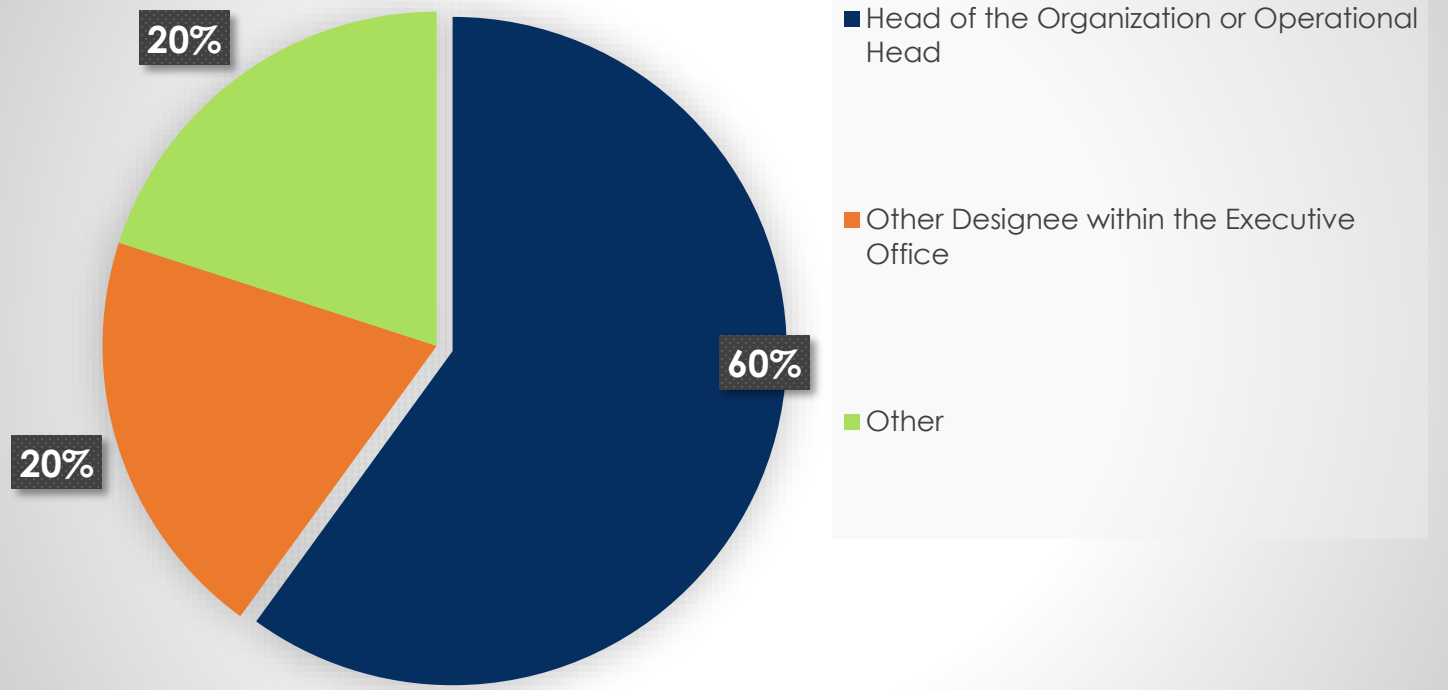
2 other (consulting firm and commission)

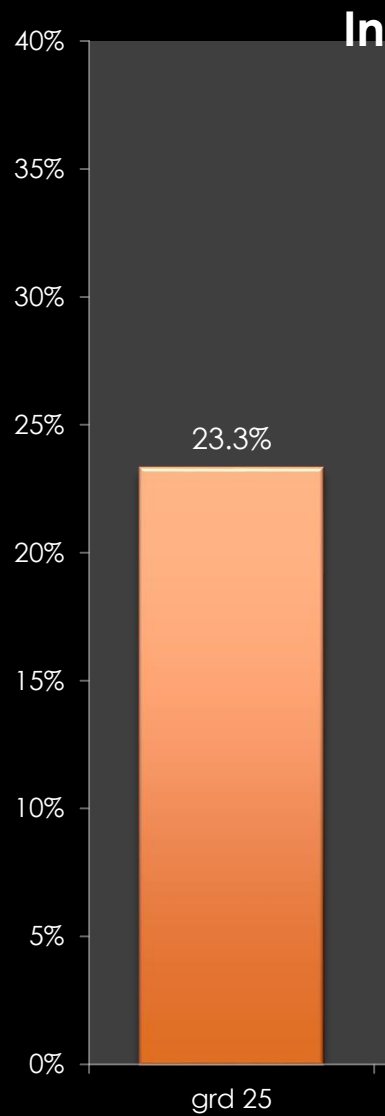
19 questions

**Does the Internal Control Officer Report to the Head of the Organization (or Executive Deputy, Executive Director or First Deputy)?**

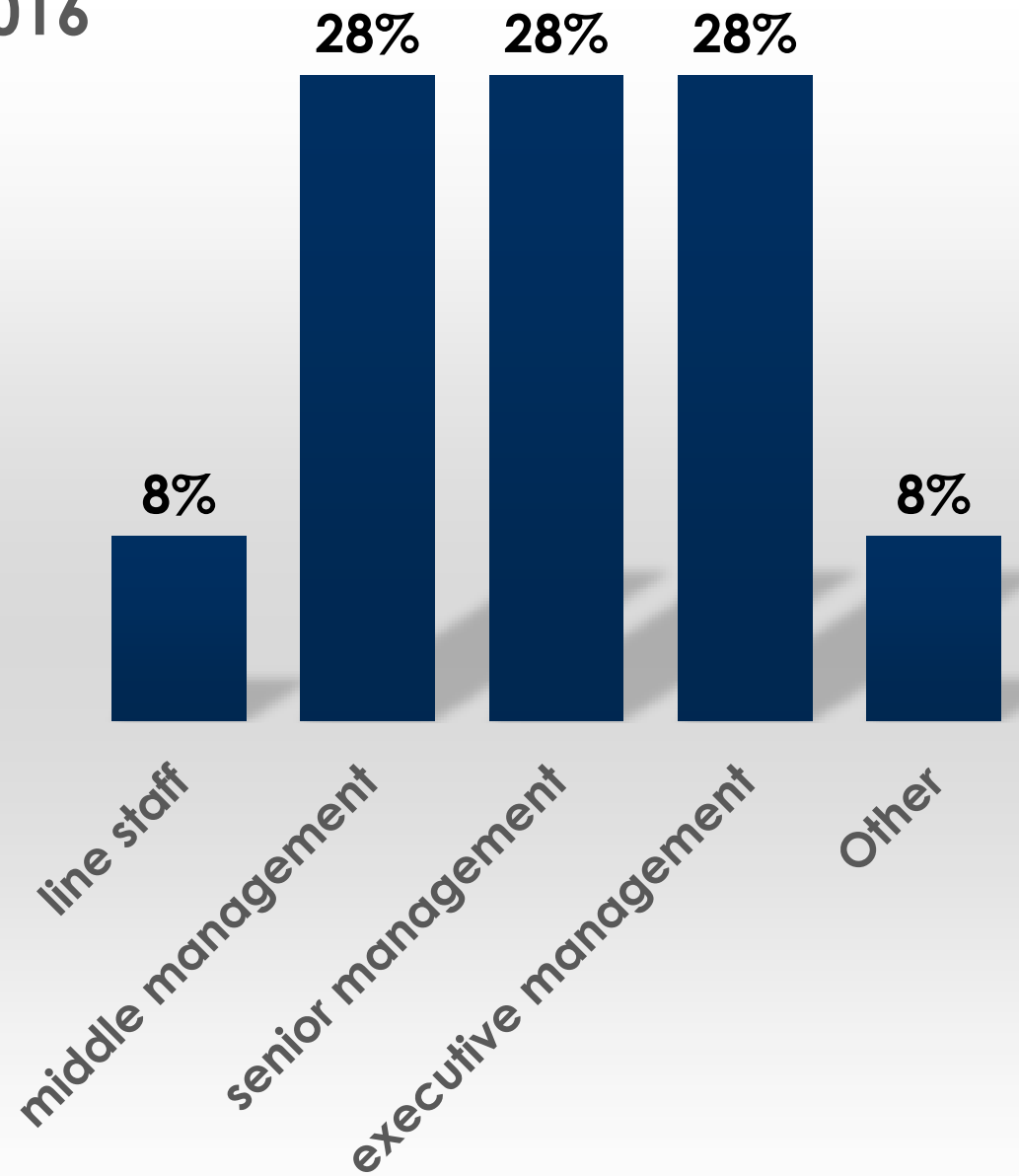


**ICO Reporting**

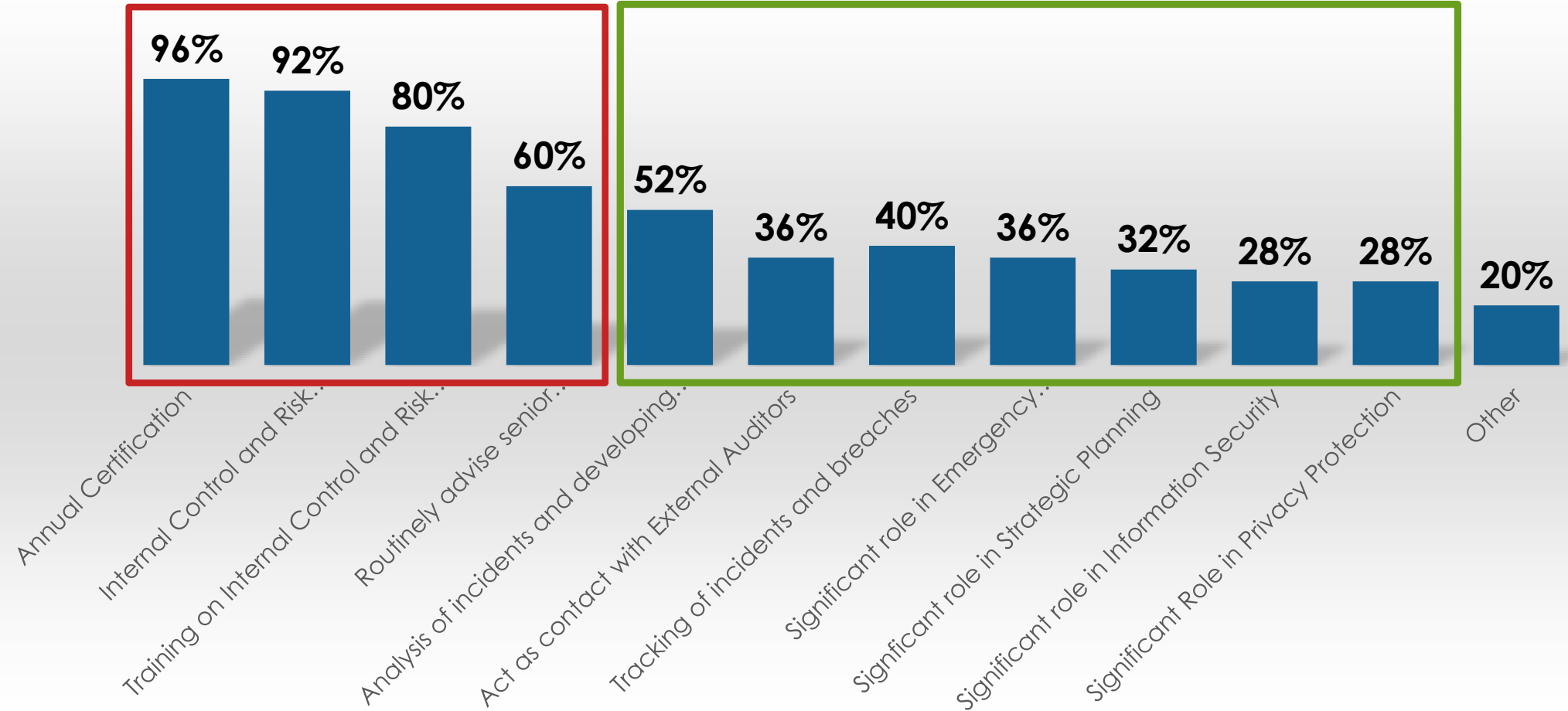




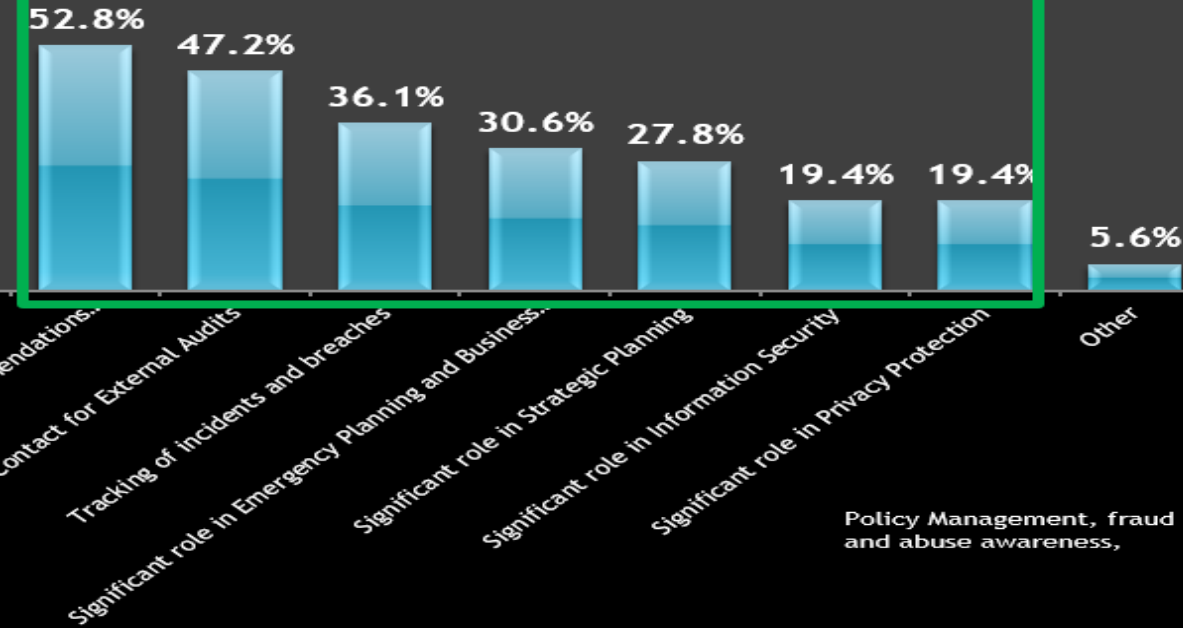
## ICO Level 2016



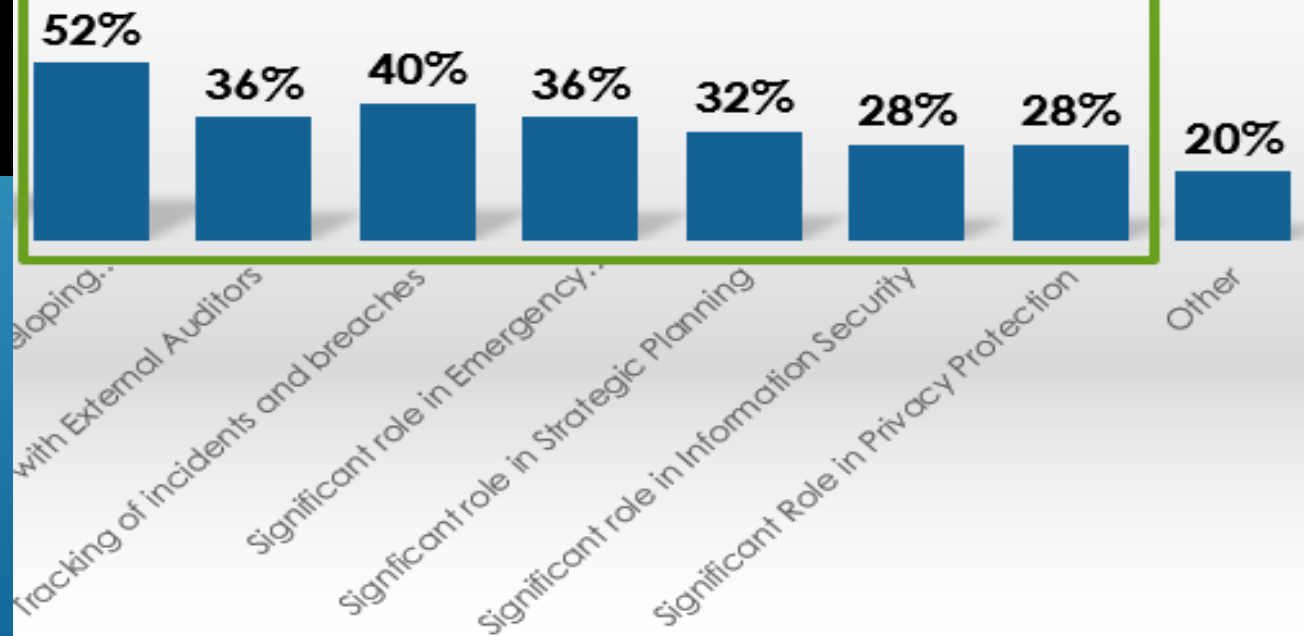
## Internal Control Duties



2013

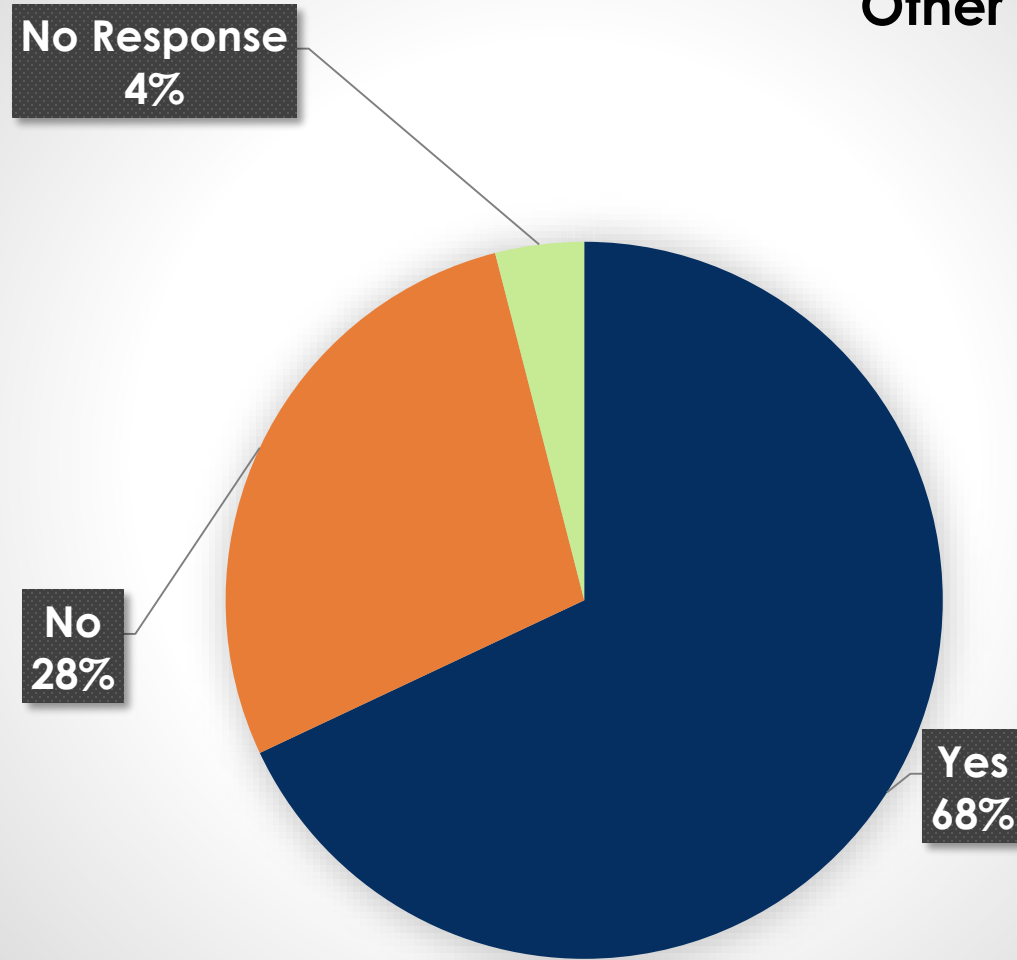


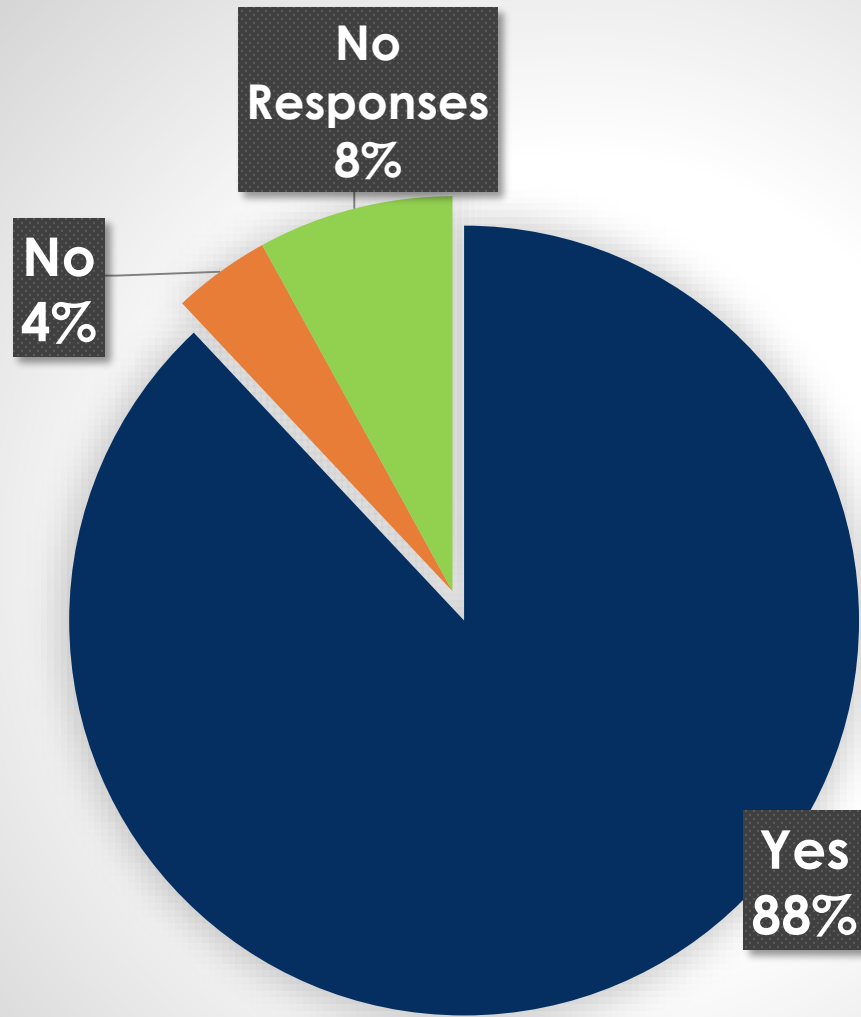
Duties



2016

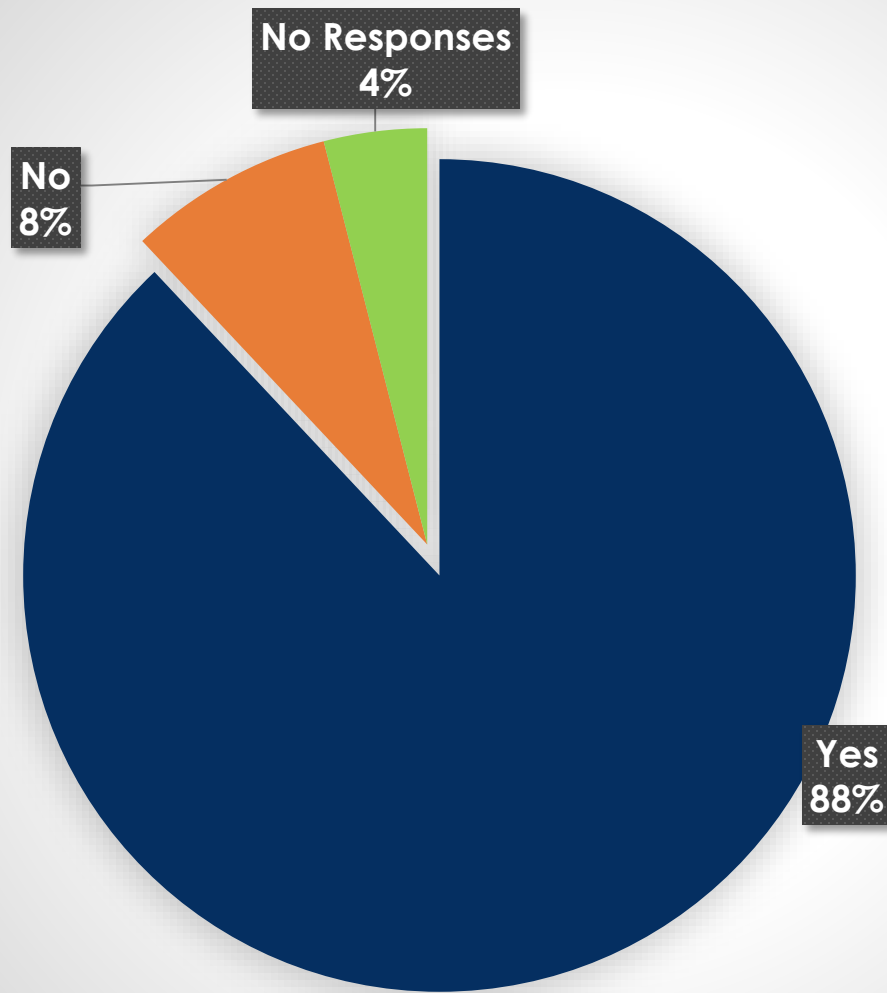
## Other Duties





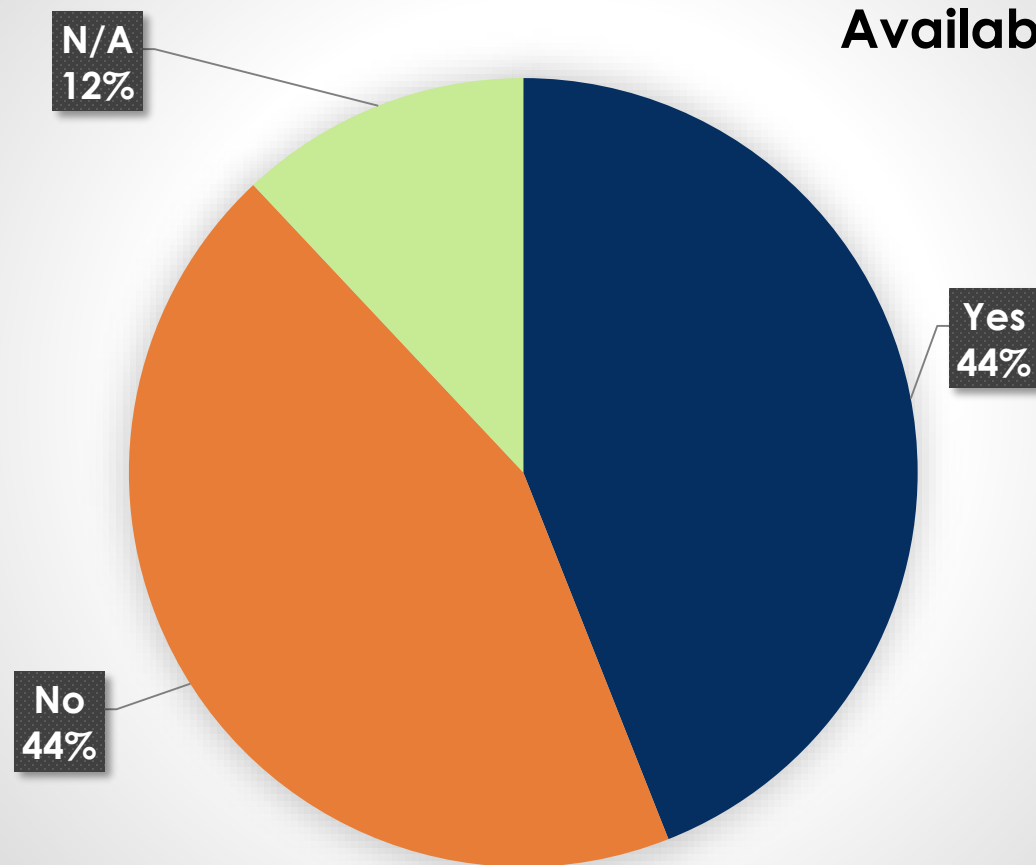
Internal Control and  
Internal Audit  
Separate



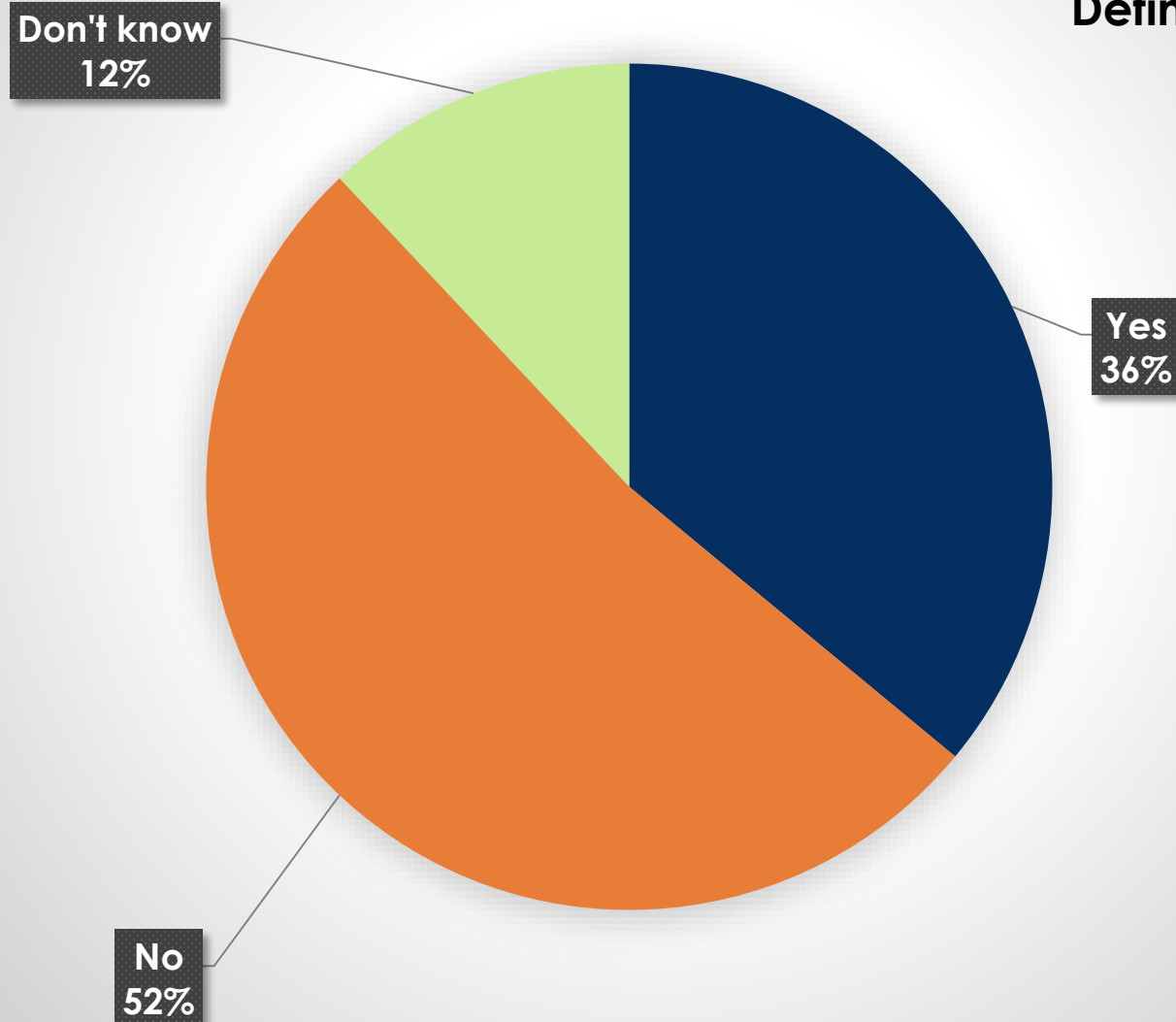


**Internal Control and  
Information Security  
Separate**

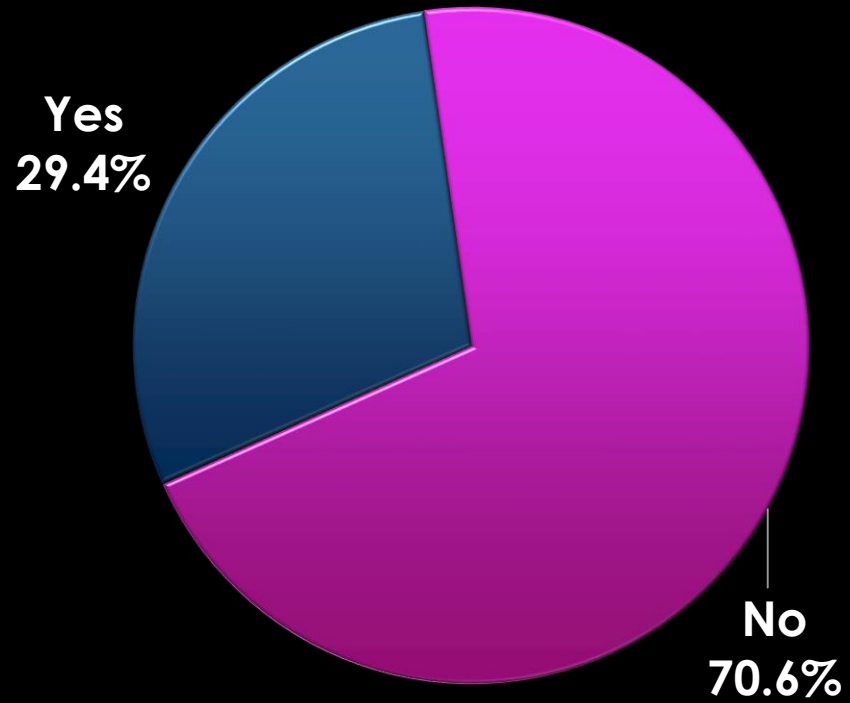
## Additional Staff Available



## Does the Organization Define a Risk



## Has Your Organization Defined its Risk Appetite? 2013

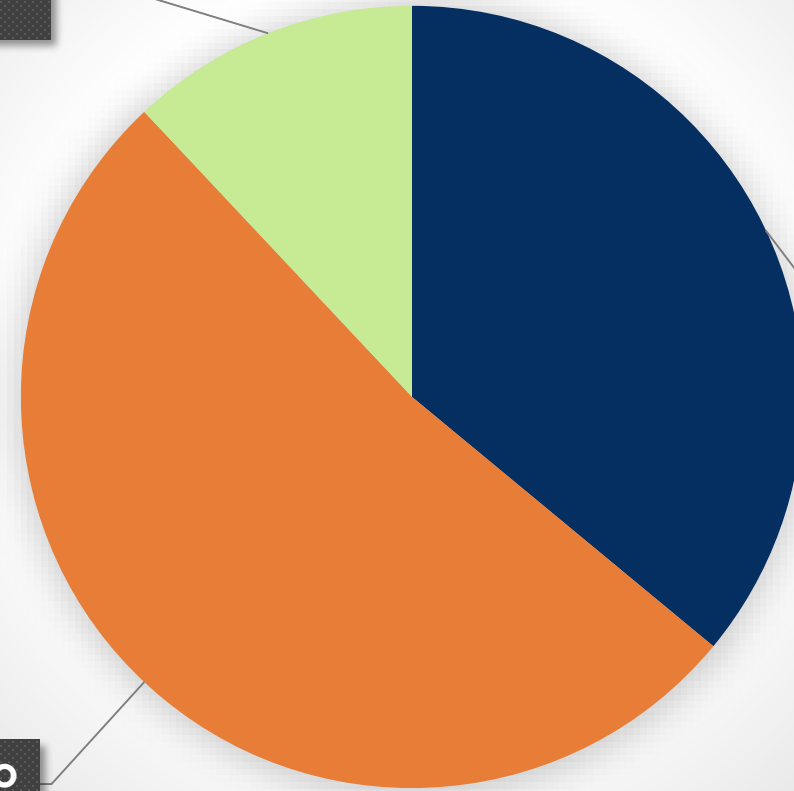


Don't know  
12%

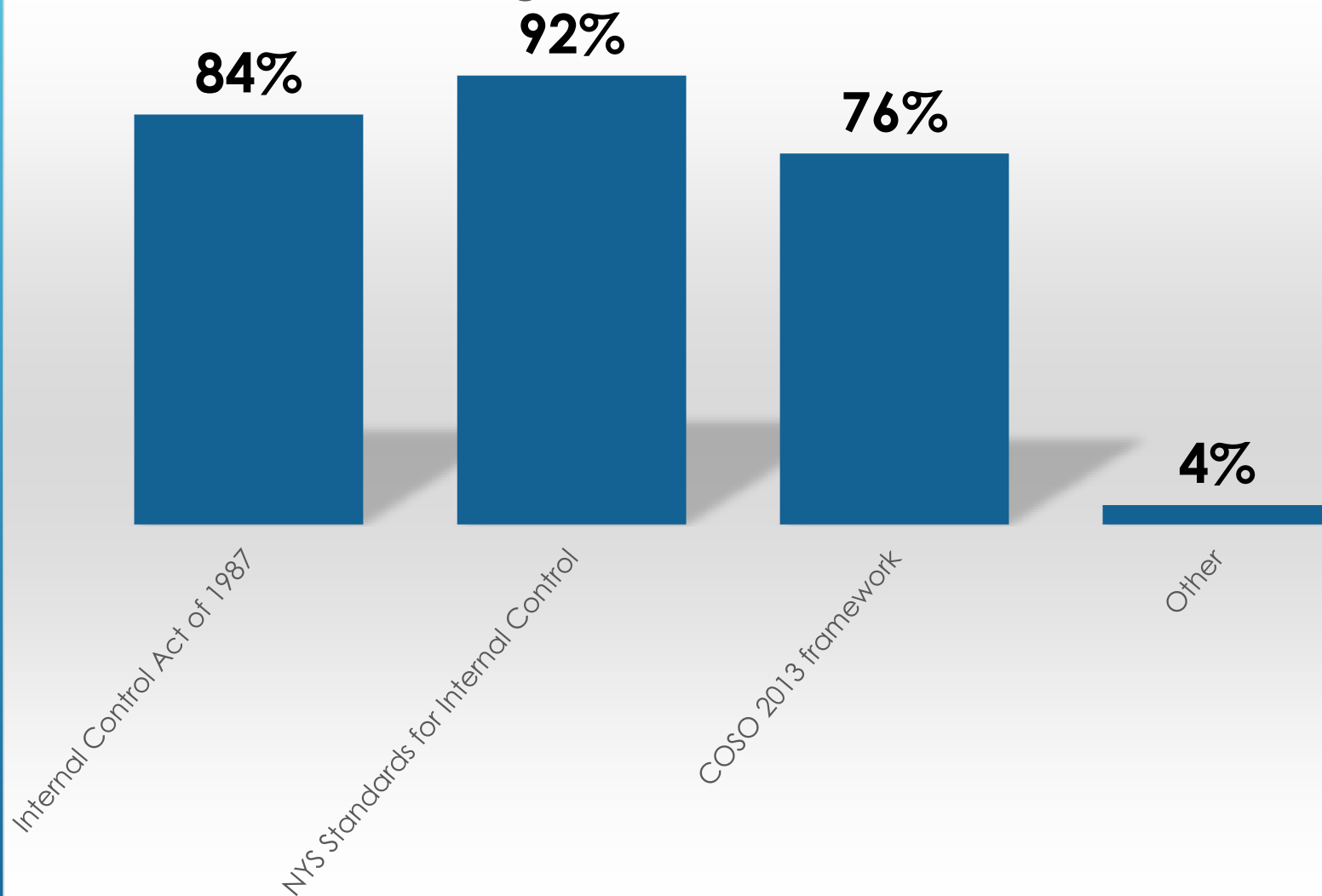
No  
52%

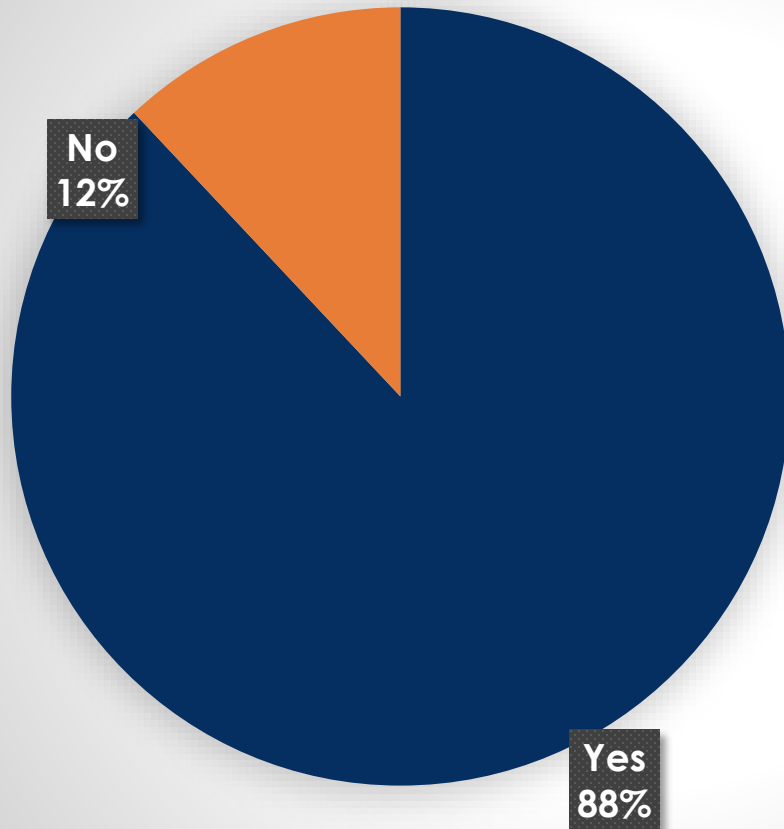
Does the  
Organization  
Define a Risk  
Appetite

Yes  
36%

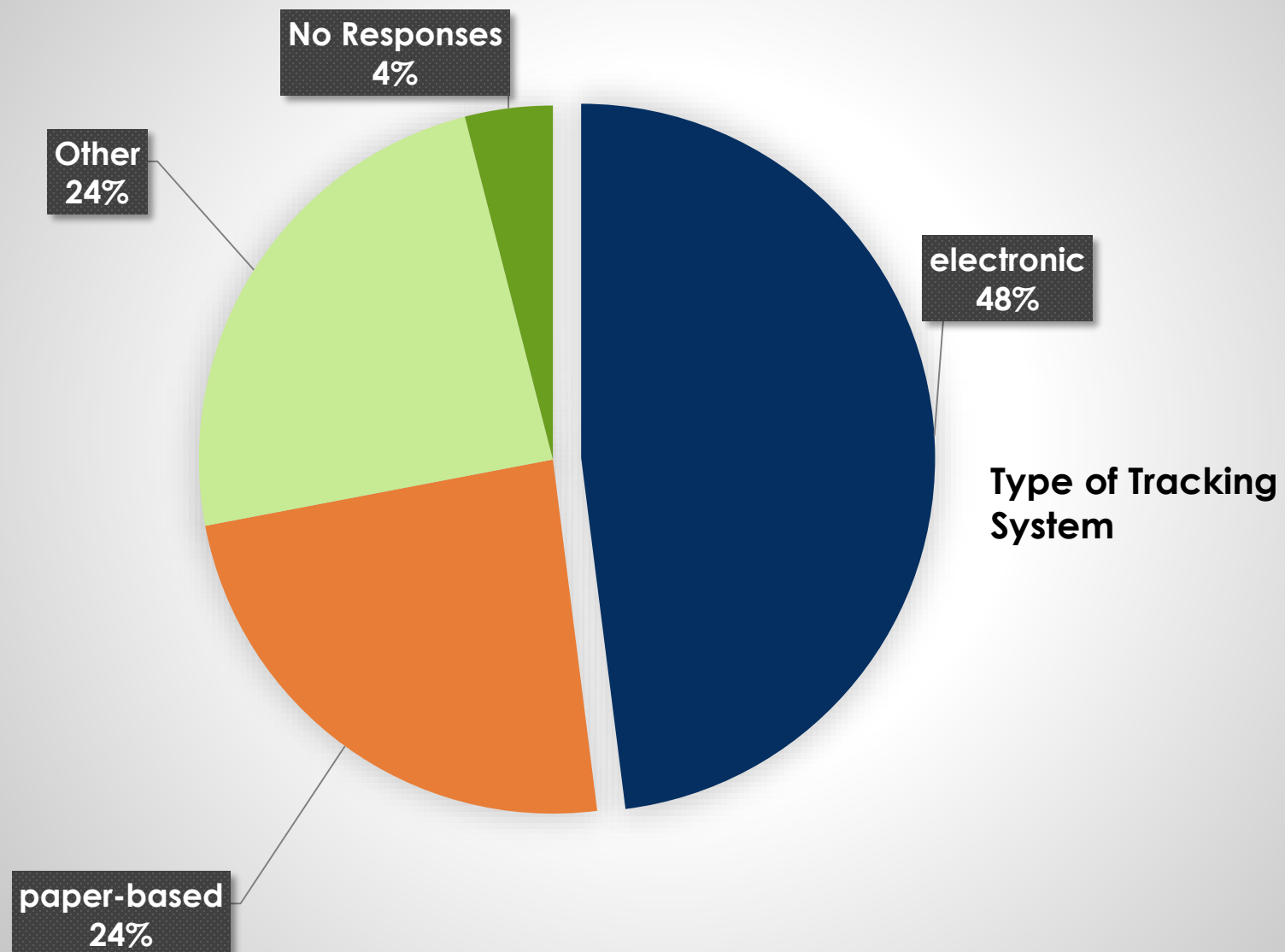


## Criteria for Assessing Internal Control

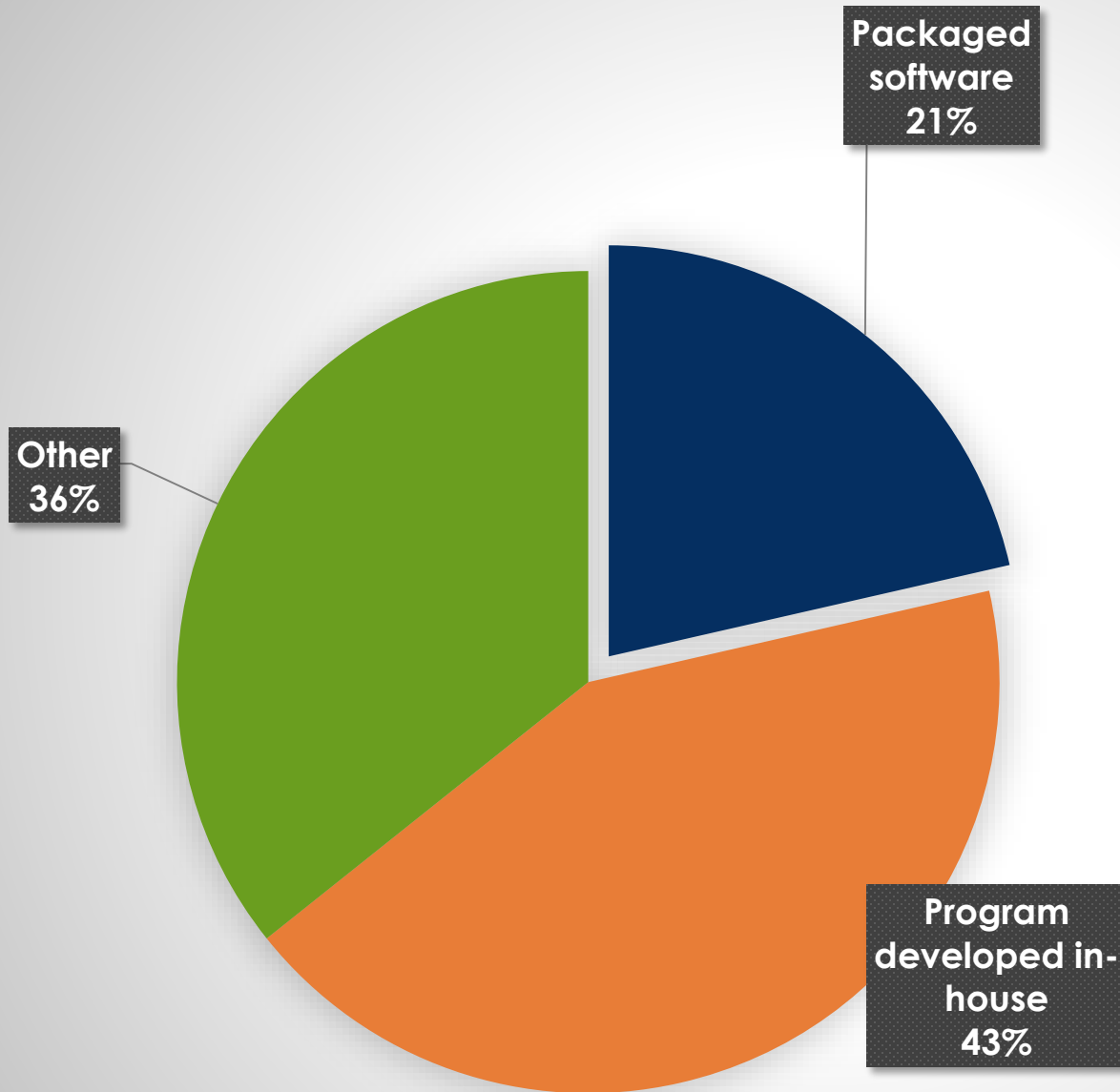




**Tracking System for  
Risks, Weaknesses  
and Deficiencies**

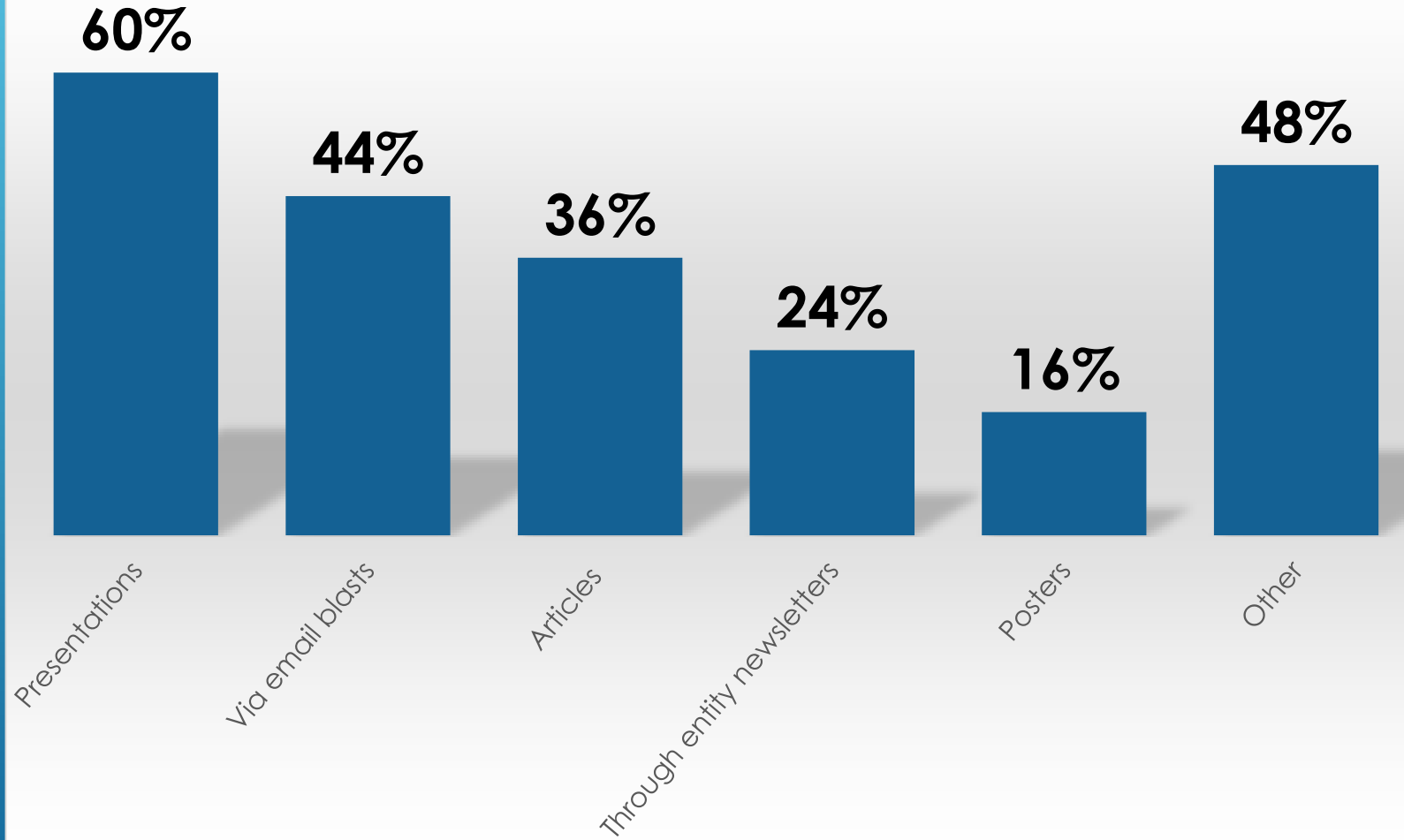


## Type of Electronic System

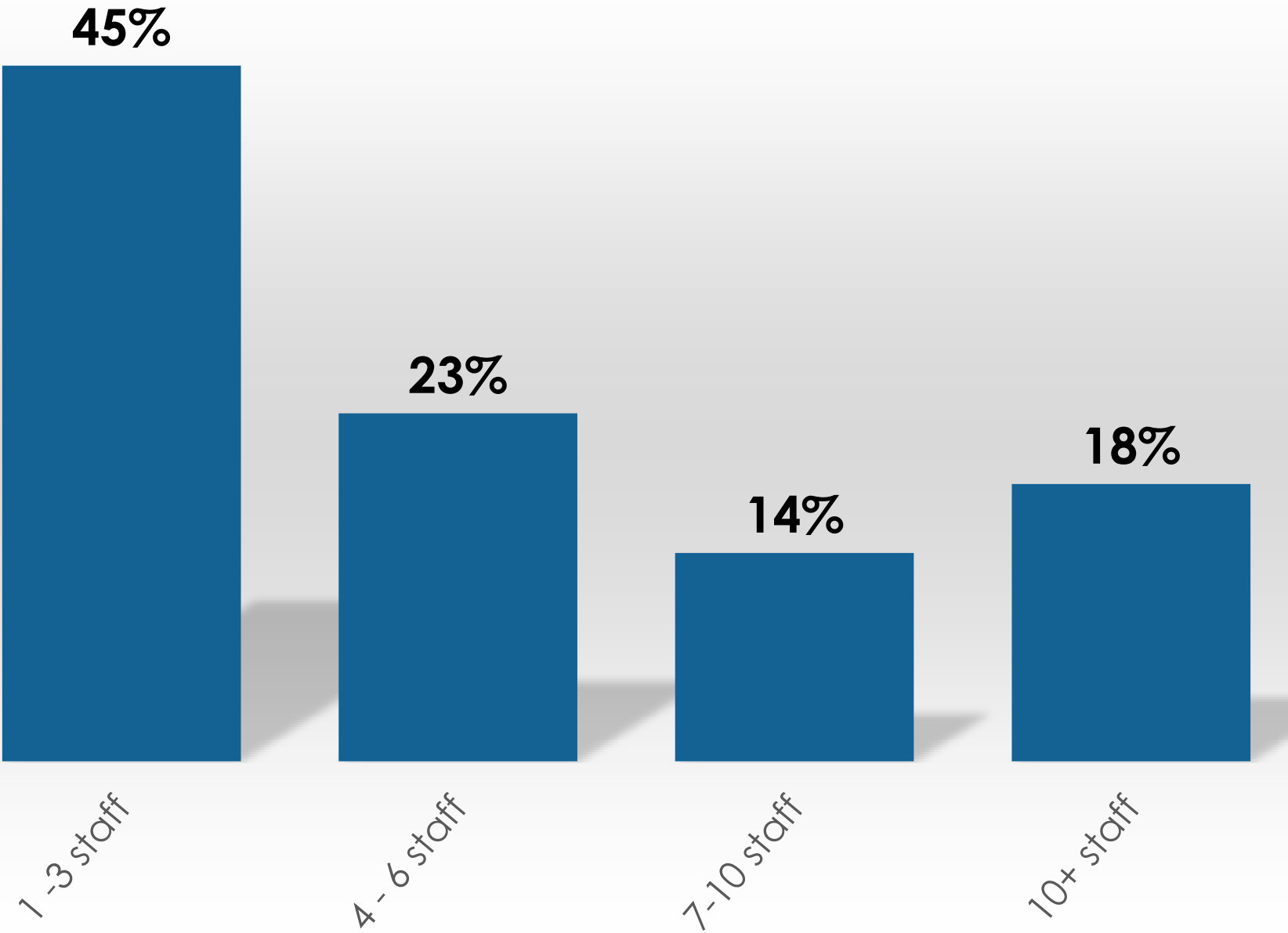




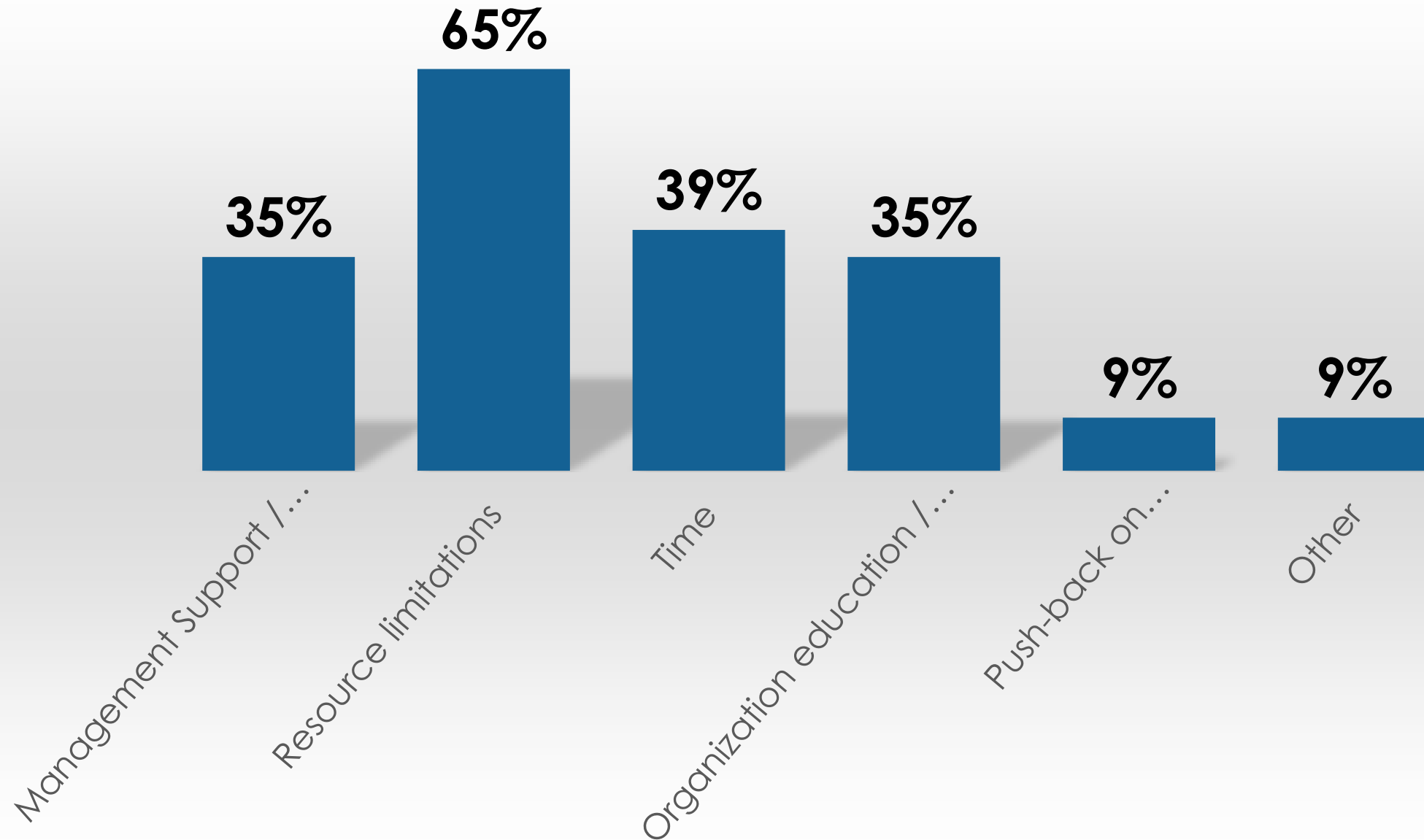
### Internal Control Awareness Methods



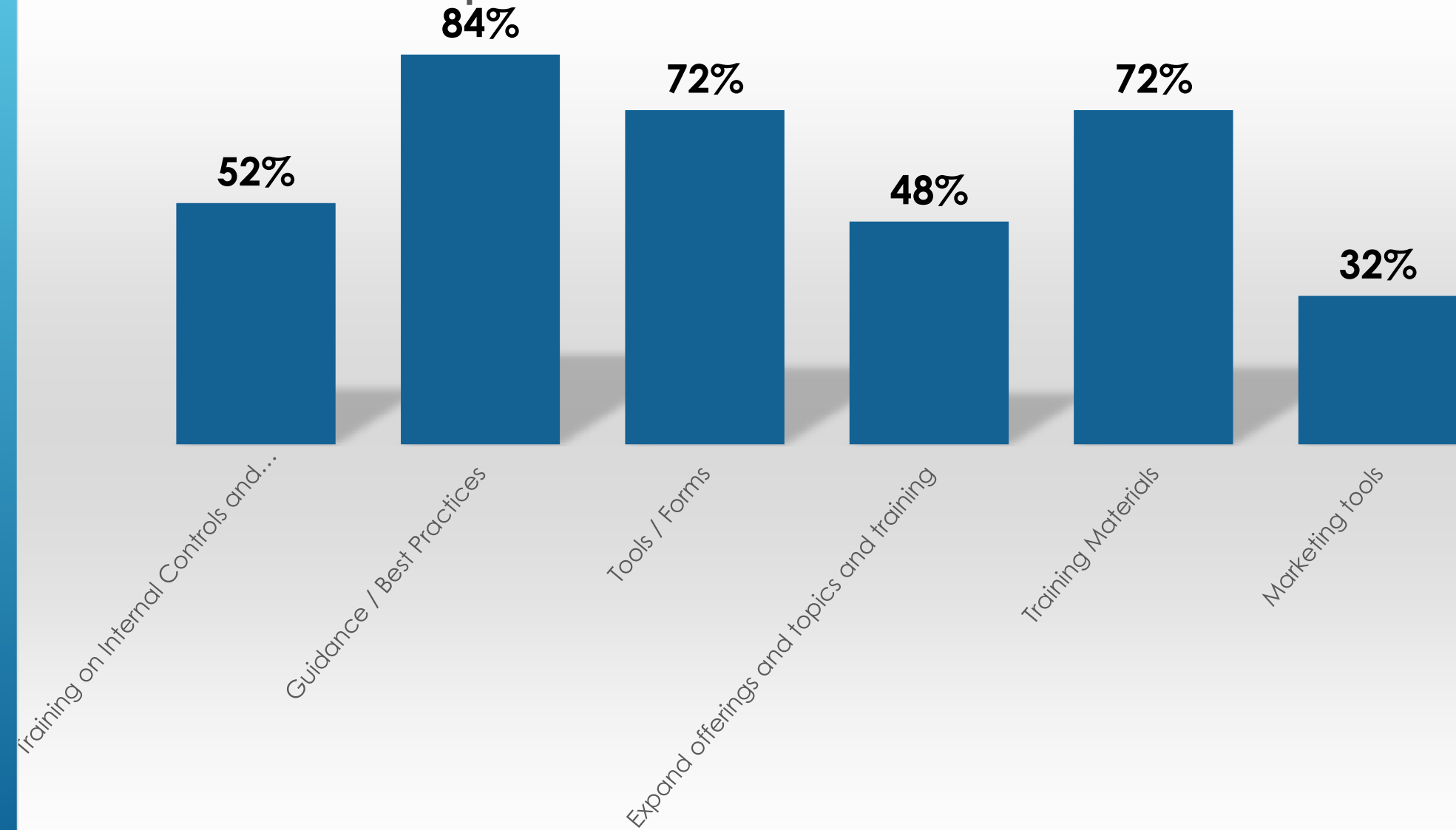
## Internal Audit Staff



# Biggest Challenges



## How can NYSICA help





# NYSICA

New York State Internal Control Association

Thank You - We Look Forward  
to Continuing to Meet Your  
Internal Control Needs